

CHAPTER 2

ROLES, RELATIONSHIPS, AND RESPONSIBILITIES

A. INTRODUCTION

The data administration community has many members each with specific roles and interlocking relationships with other members of the community. Members also have relationships outside the data administration community whose support is essential to the success of DoD Data Administration. This Chapter identifies the key roles and responsibilities within the data administration community and the critical relationships with activities outside the data administration community.

B. ROLES

1. DoD Directive 8320.1 (reference (c)) identifies three primary data administration roles: DoD Data Administrator (DoD DAd), Functional Data Administrator (FDAd), and Component Data Administrator (CDAd). The ASD(C3I) Memorandum (reference (h)) identifies the Functional Activity Program Manager (FAPM) and the Technical Development Activities with whom the data administration community must interact. Figure 2-1, below, shows these roles and the principal information flows within the context of the DoD Data Administration Program.

2. The principal official responsible for directing activities during concept exploration, definition, demonstration, validation, development, production, and deployment life-cycle management phases of an information system is the Automated Information System (AIS) Program Manager (PM). Regardless of their title, the official designated to ensure an information system is put into operation has specific relationships and responsibilities with respect to data administration. Subsequent use of the term AIS PM in this document refers to all such officials, even if the information system is not automated and/or is not considered to be "major."

3. The relationships among the data administration roles are discussed in greater detail in section C. of this Chapter, below. Responsibilities associated with the data administration roles are defined in DoD Directive 8320.1 (reference (c)). More explicit responsibilities are identified in section D. of this Chapter, below.

C. RELATIONSHIPS

Data administration relationships exist among personnel in three broad areas:

1. Data Administration Area. The ASD(C3I), as the designated senior DoD

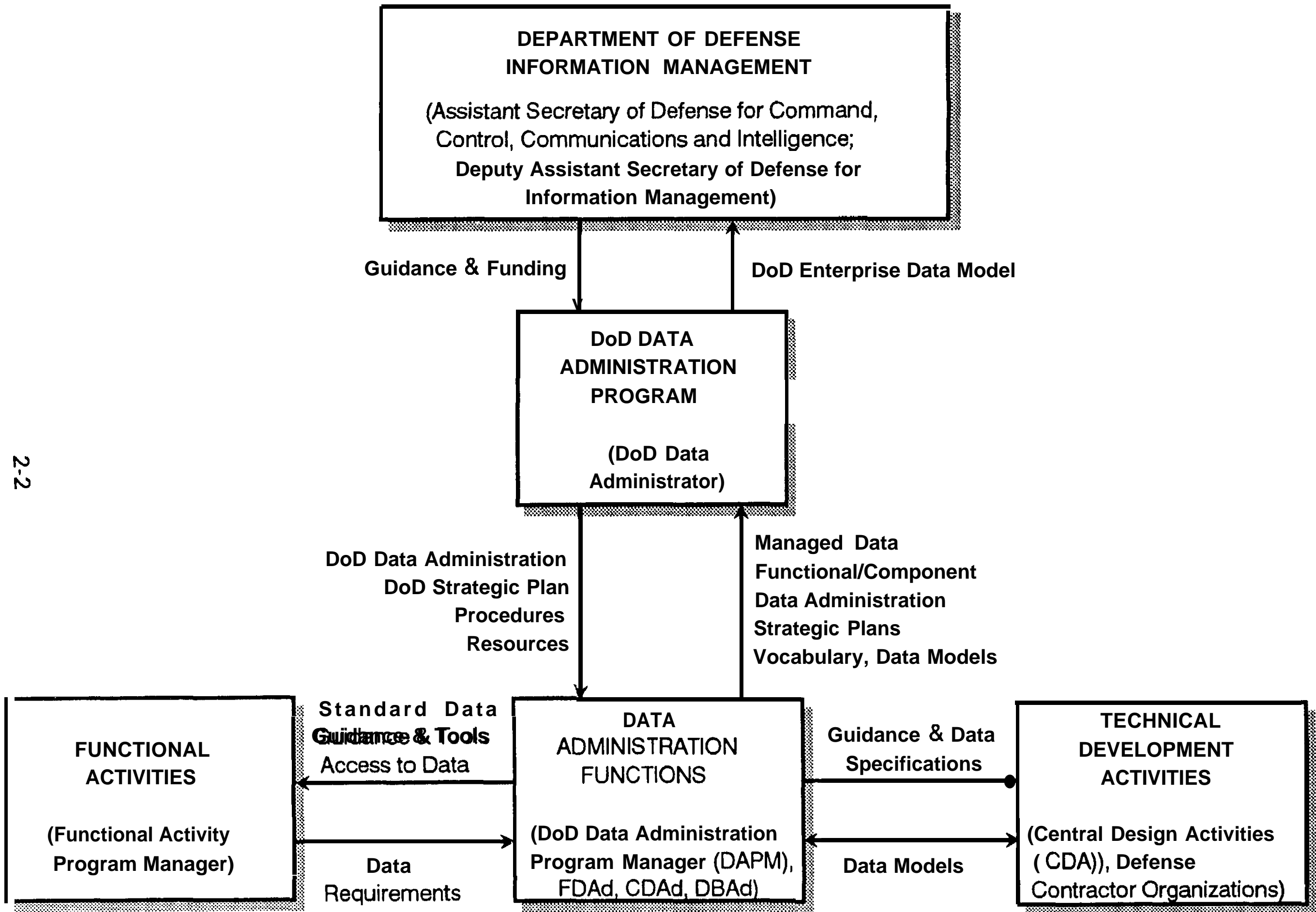


FIGURE 2-1 Data Administration Authorities and Information Flows

information management official (DoD Directive 5137.1, reference (I)), also is responsible for DoD Data Administration. The DASD(IM) acts on the ASD(C3I)'s behalf to oversee the DoD Data Administration Program. The DoD DAd is responsible for the overall management and execution of the DoD Data Administration Program and for ensuring the technical correctness and consistency of data administration products as well as developing data administration procedures, handbooks, and training materials. FADs and CDAs are responsible for managing and implementing data administration within their DoD Functional Area or Component, respectively. While CDAs and FADs need to have data administration expertise, it is essential that they be familiar with their Component or Functional Area. The data administration community is responsible for managing data products and making them available to both functional activities and technical development activities. The specific data products are: standard data elements and their characteristics, data models, data specifications, and actual data values.

2. Functional Activities. Each major mission area of the Department of Defense is made up of one or more Functional Areas, and each Functional Area is made up of one or more functional activities. The OSD PSAS may choose to make a single FAPM responsible for all functional activities within the functional area, or may identify a separate FAPM for each functional activity. FADs are responsible for Functional Areas of information at the Department (i. e., Office of the Secretary of Defense) level (e. g., Health Affairs or Acquisition) and must work closely with the FAPM to identify and define functional data requirements. Corresponding positions should exist within the Components, and in subordinate organizations within the Component, to identify and define functional activities and data requirements respectively. DASD(IM) Functional Information Managers DASD(IM) FIMs are on the OSD staff and facilitate work in, and among, the Functional Areas. AIS PMs must work closely with database administrators and technical development activities to ensure that the data in their ISs are effectively and efficiently managed.

3. Technical Development Activities. These organizations are responsible for developing application software programs, and providing information systems and services to DoD functional activities through information system design, development, and maintenance. They are responsible for developing logical data models for the information system and provide database design specifications. Technical development activities must work with data administrators to meet the data requirements of the Functional Areas, either by using existing standard data elements and specifications, or by helping develop new ones. The relationships are depicted in Figure 2-1, above, within the context of the DoD Data Administration Program. Technical development activities may be DoD organizations, known as Central Design Activities; contractors; or other government agencies.

D. RESPONSIBILITIES

1. Data administration responsibilities are divided among the main activities:

Program Administration, Provide Technical Infrastructure, and Operational Services. These relate directly to the DoD Enterprise Model (reference (k)). The responsibilities are distributed among the three main activities.

2. The data administration responsibilities designated for each of the roles are interrelated through the various levels of reporting authority, and the functional relationships and products produced and used.

3. DoD organizations responsible for implementing the procedures in this Manual must assign the responsibilities identified in this Chapter to specific positions within the organization. Each organization will identify the office(s) and/or position(s) responsible for each procedural action so that the organization can quickly contact them to address relevant data administration matters.

4. Responsibilities directly associated with DoD Data Administration are distributed among the primary roles cited in section B. of this Chapter, above, but some also are given to other DoD organizations. The following have DoD Data Administration responsibilities as shown:

a. ASD(C3I)

(1) Program Administration

- (a) Act as senior information management official for the DoD.
- (b) Prescribe and approve DoD data administration policies and procedures.
- (c) Ensure development of DoD standard procedures.
- (d) Designate a DoD DAd.
- (e) Review and approve the DoD DASP submitted by the DoD DAd.

(2) Provide Technical Infrastructure

- (a) Task the DASD(IM) to act on his or her behalf for information management issues.
- (b) Task the DoD DAd to develop and administer standard DoD data administration products, procedures, and services.
- (c) Ensure development and implementation of DoD standard data, logical data models, and tools.

(d) Ensure development, operation, and maintenance of a DoD data administration infrastructure.

(3) Operational Services

(a) Resolve data administration issues whenever possible and forward unresolved cross-functional issues with recommended actions to the ASD(C3I) for final disposition.

(b) Provide for the development and maintenance of the DoD Data Model and the DDRS.

b. OSD PSAS and the Chairman of the Joint Chiefs of Staff

(1) Program Administration

(a) Represent Functional Area interests to the ASD(C3I) and the DoD DAd.

(b) Review and approve planning, programming, and budgeting requirements for data administration within the Functional Area.

(c) Designate an FDAd in each Functional Area for which they are responsible.

(d) Review and approve data administration plans (including action plans), in accordance with annual planning guidance, for the Functional Area(s) for which they are responsible.

(e) Execute the approved DoD DASP.

(f) Approve adjustments to Functional Area data administration action plans based on approved proposals for FPI, or due to ASD(C3I) guidance.

(g) Ensure Functional Area adherence to DoD data administration policies, procedures, and standards.

(2) Provide Technical Infrastructure

(a) Task the FDAd to implement DoD Data Administration in each Functional Area for which they are responsible.

(b) Provide required data administration resources.

(c) Review and approve Functional Area(s) data requirements.

1 Approve Functional Area data requirements.

2 Review and approve Functional Area logical data models which are then sent to the Department of Defense for integration into the DoD Data Model.

3 Direct candidate and/or modified standard data elements be submitted to the Department of Defense for approval to meet Functional Area data requirements.

4 Implement approved changes to data.

(d) Establish internal procedures for data administration in their Functional Area(s).

1 Coordinate internal Functional Area data administration procedures with DoD data administration procedures.

2 Ensure compatibility between internal Functional Area data administration procedures and Functional Process Improvement (FPI) procedures.

(3) Operational Services

(a) Require the development and use of DoD standard data within the Functional Area(s) and in information systems developed to support the Functional Area(s).

(b) Ensure sufficient personnel are trained in data administration to support the needs of the Functional Area(s).

(c) Review the DoD Data Model as part of the approval process.

c. Component Heads

(1) Program Administration

(a) Represent Component interests to the OSD PSAS and the DoD DAd for all DoD data administration matters.

(b) Review and approve planning, programming, and budgeting requirements for data administration within the Component.

(c) Designate a CDAd to implement data administration procedures across all Functional Areas within the Component.

(d) Review and approve an annual data administration plan (including action plans), in accordance with annual planning guidance, for the Component.

(e) Execute the approved DoD DASP.

(f) Approve adjustments to Component' data administration action plans based on approved proposals for FPI, or due to ASD(C3I) guidance.

(g) Ensure Component adherence to DoD data administration policies, procedures, and standards.

(2) Provide Technical Infrastructure

(a) Provide required data administration resources.

(b) Review and approve Component data requirements.

1 Approve Component data requirements.

2 Review and approve Component logical data models which are then sent to the Department of Defense for integration into the DoD Data Model.

3 Direct candidate and/or modified standard data elements be submitted to the Department of Defense for approval to meet Component data requirements.

4 Implement approved changes to data.

(c) Establish internal procedures for Component data administration.

1 Coordinate internal Component data administration procedures with the Department of Defense and functional data administration procedures.

2 Ensure compatibility between internal data administration procedures and FPI procedures.

(3) Operational Services

(a) Require the development and use of DoD standard data within the Component and in information systems developed to support the Component.

(b) Ensure sufficient personnel are trained in data

administration to support the needs of the Component.

(c) Operate databases to support integrated operations and the use of shared DoD data resources.

d. DASD(IM)

(1) Program Administration

(a) Develop DoD data administration policies, and recommend the policies, the DoD data administration procedures, and related standards to the ASD(C3I) for approval.

(b) Review and recommend approval of the DoD DASP annually.

(2) Provide Technical Infrastructure

(a) Support the DoD DAd in acquiring the resources necessary to establish a DoD data administration infrastructure and implement the DoD Data Administration Program.

(b) Support development of DoD standard data, logical data models, procedures, and tools.

(3) Operational Services

(a) Act on behalf of the senior information management official on data administration issues, except for those issues needing ASD(C3I) resolution.

1 Review the DoD Data Model each time a new version has been approved.

2 Resolve conflicts not able to be solved by the DoD DAd.

(b) Facilitate the exchange of information relating to data administration products among OSD functional staff and Components.

e. DASD(IM) FIMs

(1) Program Administration

(a) Assist FADAs in coordination of the Functional Area data administration plan, when requested.

(b) Review Functional Area data administration plan, and identify and assist resolution of cross-functional issues.

(2) Provide Technical Infrastructure

(a) Facilitate coordination of data requirements across DoD Functional Areas..

(b) Support the development of DoD data administration products within and across Functional Areas.

(3) Operational Services

(a) Support use of DoD data administration products within and across Functional Areas and information systems used by the Functional Area(s).

(b) Support the training of sufficient personnel in the Functional Area(s) to implement the DoD Data Administration Program.

f. DoD DAd

(1) Program Administration

(a) Plan and budget for resources necessary to implement DoD Data Administration.

1 Identify resources needed to support DoD Data Administration activities conducted to meet the designated responsibilities for implementing data administration across the Department of Defense.

2 Plan and budget for resources consistent with the DoD Budget Guidance documentation.

(b) Establish requirements for models, methods, tools, data, and information technology.

(c) Develop and submit the DoD DASP to the DASD(IM) for final review and to ASD(C3I) for approval.

1 Coordinate DoD DASP Annual Planning Guidance with the DASD(IM).

2 Issue DoD DASP Annual Planning Guidance to FDAdS and CDAdS.

3 Receive and analyze FAd data administration plans from the OSD PSAs.

4 Receive and analyze CAd data administration plans from the DoD Components.

5 Consolidate FAd and CAd data administration plans into the DoD DASP, prioritize objectives, establish criteria, and align with Data Administration Program goals and available resources.

6 Develop DoD Data Administration Program action plans.

7 Submit DoD DASP to ASD(C3I) for approval.

(d) With coordination and assistance of FAds and CAdS, develop DoD data collection, synchronization, and distribution plans based on the integration of functional and Component data requirements.

(e) Examine and evaluate current data collection, storage, and distribution technologies and make the information available to database administrators.

(f) Represent the ASD(C3I) and the DoD Data Administration Program to internal and external organizations on issues concerning data administration.

(g) Distribute the approved DoD DASP to FAdS and CAdS for execution.

(2) Provide Technical Infrastructure

(a) Acquire data administration resources.

(b) Implement DoD data administration standards, policies, and procedures.

(c) Develop DoD data administration procedures that specifically include procedures for data modeling, data standardization, data security, data quality assurance, and database operations.

(d) Develop the DoD Data Model.

(e) Facilitate implementation and use of DoD data administration procedures, tools, and standards.

(f) Develop a DDRS.

1 Collect user, functional, and technical requirements for a DDRS that are identified by FDAds, CDAds, and other DDRS users.

2 Develop logical data model for the repository that identifies all “critical” repository metadata.

3 Ensure that the logical data model and repository can be easily extended.

4 Establish configuration management procedures for the DDRS to manage functional and technical changes.

(g) Establish a DoD data administration training capability.

(3) Operational Services

(a) Implement and manage the DDRS. (Implement the DDRS to ensure efficient and effective operation of the repository and ensure appropriate users are able to access the system and the information it contains.)

1 Provide easy access and use of the repository by government and government contractor personnel within the level of classification and need-to-know.

2 Provide training for use of the repository.

3 Provide customer service.

4 Establish and chair the DDRS Configuration Steering Committee.

(b) Maintain the DoD Data Model.

1 Provide all services needed to manage and use DoD metadata stored in the repository.

2 Perform technical review and analysis of Functional Area and Component data models.

3 Coordinate with the FDAd designated as the data steward to resolve functional and technical issues that were raised during the cross-functional review.

4 Review and approve or disapprove extensions or

modifications to the DoD Data Model based on functional and technical evaluations.

5 Integrate approved data models, or data model views, into the DoD Data Model.

(c) Provide data administration customer service, education, training, and consultation.

(d) Provide standard data services.

1 Perform technical reviews of DoD candidate standard data.

2 Coordinate with the FDAAd designated as the data steward to resolve functional and technical issues that were raised during the cross-functional review.

3 Technically approve or disapprove DoD standard data.

4 Implement and enforce DoD standard procedures for data and database operations and maintenance.

(e) Provide for data security.

1 Specify security requirements for defense data handling facilities.

2 Execute secure data handling policies and procedures.

(f) Provide for data quality.

1 Specify quality requirements for Defense data handling facilities: e.g., information processing centers, metacenters.

2 Execute data quality policies and procedures.

3 Implement plans for data collection, synchronization, and distribution of DoD standard data.

(g) Perform configuration management on all DoD data products; e.g., DoD standard data, DoD Data Model, and the DDRS.

1 Establish and verify configuration baselines.

2 Determine the effect of change requests on

configurations.

3 Ensure change control.

(h) Analyze use of DoD standard data, data security, and data quality to include data collection, synchronization, and distribution by evaluating trouble and/or discrepancy reports and complaints; and by conducting surveys and Program reviews.

(i) Conduct periodic Program assessments to evaluate progress and provide progress reports to the DASD(IM).

(j) Monitor and access the progress of data administration action plan(s) implementation.

(k) Review, evaluate, and submit proposals for functional process improvement for the DoD Data Administration Program.

g. FDA

(1) Program Administration

(a) Serve as the Functional Area representative on functional issues affecting DoD Data Administration.

(b) Plan and budget for data administration resources within the Functional Area.

1 Identify data administration resources needed in the Functional Area.

2 Plan and budget for resources consistent with the DoD Budget Guidance documentation.

(c) Review, update, and prepare in coordination with the FAPMs, the Functional Area data administration plan in accordance with the DoD Data Administration Annual Planning Guidance.

1 Review DoD Data Administration Annual Planning Guidance.

2 Compile input to the Functional Area data administration plan, and submit the data administration plan to the OSD PSA.

3 Conduct Functional Area program assessments to evaluate progress.

4 Coordinate data administration plan with FAPMs.

(2) Provide Technical Infrastructure

(a) Acquire required data administration resources.

(b) Develop and ensure conformance of Functional Area data administration implementing procedures with DoD data administration procedures.

(c) Develop a logical data model for the Functional Area.

1 Reconcile data models and activity models developed by FAPMs in the Functional Area. (This includes resolving disputes among Components within the Functional Area whenever possible.)

2 Review and validate data models developed in the Functional Area.

3 Review and validate data requirements identified in the Functional Area data models for which data stewardship resides in another Functional Area.

4 Integrate approved data models across all functional activities within the Functional Area.

5 Coordinate, review, and approve extensions or modifications to the portions of the DoD Data Model for which they are steward.

6 Assist the DoD DAd in integrating approved data models or data model views (external schemas) into the DoD Data Model.

7 Maintain Functional Area data models in the DDRS.

(d) Assist data collection, synchronization, and distribution.

1 Document the single point-of-entry for data originating in the Functional Area.

2 Plan for the collection of functional data and coordinate with the DoD DAd.

3 Identify synchronization requirements of functional data to the DoD DAd.

4 Identify known data distribution requirements to the DoD DAd.

(e) Identify any functional requirements not provided by the DDRS and submit the requirements to the DoD DAd.

(f) Develop secure, quality, standard data in the Functional Area.

1 Establish standard data for use across the Functional Areas and in the DoD Components.

2 Use the DoD standard data element procedures to develop data elements for the Functional Area.

3 Develop Functional Area specific implementation procedures for data element standardization as necessary.

4 Utilize the DDRS to the maximum extent possible.

5 Ensure appropriate security requirements are identified for Functional Area data.

6 Ensure quality of standard data provided by the Functional Area.

(3) Operational Services

(a) Conduct functional review of DoD candidate standard data for which they are designated as the data steward.

(b) Ensure staff is trained to carry out the DoD Data Administration Program within the Functional Area.

(c) Enforce use of DoD data administration policies, procedures, products, and standards within the Functional Area.

(d) Require and enforce use of DoD data administration products within the Functional Area by AIS PMs and the technical development activities that support the Functional Area.

(e) Require and enforce use of standard data in publications, reports, records, messages, screens, and forms that are used and shared in the Functional Area. Exceptions may be granted by the FDAd when there is a compelling reason to allow deviation.

(f) Analyze the progress of Functional Area data administration action plans.

(g) Prepare and submit data administration progress reports to the DoD DAd upon request.

(h) Review, evaluate, and submit proposals for functional process improvements for data administration.

(i) Participate in all functional process improvement projects conducted in their Functional Area to provide oversight to data modeling efforts.

(j) Adjust action plans based upon approved functional process improvement proposals and DoD DAd guidance.

(k) Perform configuration management in the Functional Area.

1 Establish and verify data configuration baselines.

2 Determine the effect of change requests on data configurations (source collection and/or distribution).

3 Ensure change control.

h. CDAAd

(1) Program Administration

(a) Serve as the Component representative on Component issues affecting DoD Data Administration.

(b) Plan and budget for data administration resources required within the Component.

1 Identify data administration resources needed in the Component.

2 Plan and budget for resources consistent with the DoD Budget Guidance documentation.

(c) Review, update, and prepare the Component data administration plan in accordance with DoD Data Administration Annual Planning Guidance.

1 Review DoD Data Administration Annual Planning Guidance.

2 Compile Component data administration plan and submit it to the Component Head.

3 Conduct Component program assessments to evaluate progress.

4 Coordinate data administration plan with functional personnel in the Component.

(d) Determine requirements for data collection, synchronization, and distribution.

1 Plan for the collection of Component data and coordinate with the FDAd(s) and the DoD DAd.

2 Identify Component synchronization requirements of data and coordinate with the data steward(s) and the DoD DAd.

3 Coordinate known data distribution requirements with the FDAd(s) and the DoD DAd.

(2) Provide Technical Infrastructure

(a) Acquire required data administration resources.

(b) Develop and ensure conformance of Component data administration implementing procedures with DoD data administration procedures.

(c) Develop a logical data model for the Component.

1 Reconcile data models and activity models developed in the Component.

2 Review and validate data models developed within the Component.

3 Integrate approved data models across all functional activities within the Component.

4 Propose extensions or modifications to the DoD Data Model to accommodate Component requirements.

5 Assist the DoD DAd in integrating approved data models or data views (external schemas) into the DoD Data Model.

6 Maintain Component data model in the DDRS.

(d) Conduct data collection, synchronization, and distribution.

Coordinate with the data steward(s) and the DoD DAd on the designation of the single point-of-entry for data originating in the Component.

(e) Identify any functional requirements not provided by the DDRS and submit the requirements to the DoD DAd.

(f) Develop secure, quality, standard data in the Component.

1 Establish standard data for use across the functional areas of the Component and among DoD Components.

2 Use the DoD standard data element procedures to develop data elements for the Component.

3 Develop Component specific implementation procedures for data element standardization as necessary.

4 Utilize the DDRS to the maximum extent possible.

5 Ensure appropriate security requirements are identified for Component data.

6 Ensure quality of standard data provided by the Component.

(3) Operational Services

(a) Facilitate coordination of data requirements across the Component.

(b) Act as liaison between Functional Areas within the Component, and the FDAd and the DoD DAd.

(c) Ensure staff is trained to carry out the DoD Data Administration Program within the Component.

(d) Enforce use of DoD data administration policies, procedures, products, and standards within the Component.

(e) Require and enforce use of DoD data administration products within the Component by AIS PMs and the technical development activities that support the Component.

(f) Require and enforce use of standard data in publications, reports, records, messages, screens, and forms that are used and shared within the Component. Exceptions may be granted by the CDAd when there is a compelling

reason to allow deviation.

(g) Require and support database administrators in the Component to physically implement that portion of the DoD Data Model required by users of a database.

(h) Analyze the progress of Component data administration action plans.

(i) Prepare and submit data administration progress reports to the DoD DAd upon request.

(j) Review, evaluate, and submit proposals for functional process improvements for data administration.

(k) Participate in all functional process improvement projects conducted in their Component to provide oversight to data modeling efforts.

(1) Adjust action plans based upon approved functional process improvement proposals and DoD DAd guidance.

(m) Perform configuration management in the Component.

1 Establish and verify data configuration baselines.

2 Determine the effect of change requests on data configurations (source collection and/or distribution).

3 Ensure change control.

i. FAPM

(1) Program Administration

Assist FDAd in coordination and development of the Functional Area data administration plan.

(2) Provide Technical Infrastructure

Assist the FDAd in the development of the Functional Area data model and validate that functional data requirements of the functional activity model(s) are completely and correctly represented in the model.

(3) Operational Service

(a) Assist the FDAd in maintenance of the Functional Area

data model.

(b) Require information system and application software program development to use DoD standard data elements, and have candidate standard data elements developed when they do not exist already.

j. Database Administrators

(1) Provide Technical Infrastructure

(a) Develop and maintain physical data models based on the approved logical data models.

(b) Develop and maintain database structure using approved data entities and attributes.

(2) Operational Service

(a) Physically implement that portion of the logical DoD Data Model that is needed to support the users of his or her database.

(b) Coordinate database development with appropriate FDAs and CDAs; i.e., functional staff and Components that use or need knowledge of the database.

(c) Use standard entities and attributes in database development and maintenance.

(d) Produce and disseminate database documentation.

(e) provide technical assistance in the design of logical data models.

(f) Operate and maintain a database.

(g) perform data quality analysis to detect and prevent data defects before they corrupt databases or end-user applications.

(h) Ensure data security measures are taken to prevent unauthorized access to the databases or changes to the data in them.

k. Technical Development Activities

(1) Provide Technical Infrastructure

(a) Use existing logical data model(s) when building an

information system or an application software program and recommend modification to existing data models as new data requirements are identified .

(b) Provide the data model (view and/or subset of functional models or the DoD Data Model) to the AIS PM, and to the FDAAd or CDAAd for which the system and/or application is being developed.

(c) Help develop DoD candidate standard data to meet information system and/or application software program data requirements when no standard already exists.

(2) Operational Services

(a) Use DoD standard data elements in information system and application software program development.

(b) Work with database administrators in the design and implementation of physical databases.

1. AIS PM (This refers to any principal officials responsible for directing activities during concept exploration, definition, demonstration, validation, development, production, and development life-cycle phases of an information system, automated or non-automated.)

Operational Services

(1) Require and ensure use of DoD data administration products in the information system life-cycle. Exceptions to the use of DoD data administration products must be approved by the responsible FDAAd or CDAAd. Exceptions will be granted only when there is a compelling reason to allow deviation.

(a) Ensure use of DoD standard data and structures.

(b) Ensure development and maintenance of physical data models using approved logical data models.

(2) Ensure implementation and maintenance of data quality requirements in the information system.

(3) Ensure security measures are taken to prevent unauthorized access to data in the information system.

m. Functional Users (to include end-users, action officers, and decision-makers at all levels)

(1) Provide Technical Infrastructure

(a) Develop or propose changes to data models to support new or changing business requirements.

(b) Develop DoD candidate standard data elements to meet data requirements when no standard data element already exists.

(2) Operational Services

(a) Use DoD standard data to meet data requirements.

(b) Assess the usefulness and benefits of the functional data requirements within information systems and recommend changes.

(c) Forward data discrepancies or problems to the FDAd or CDAd.